



A33902 (072119.0110)

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Ning et al.  
Serial No. : 09/849,013 Examiner: To Be Assigned  
Filed : May 4, 2001 Group Art Unit: 2161  
For : CUSTOMIZED DERIVATIVE SECURITIES

INFORMATION DISCLOSURE STATEMENT

I hereby certify that this paper is being deposited with the United States Postal Service as first class mail in an envelope addressed to:  
Commissioner for Patents, Washington, D.C. 20231

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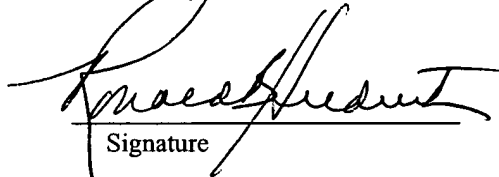
Date of Deposit

Ronald B. Hildreth

Attorney Name

19,498

PTO Registration No.

  
SignatureAugust 1, 2001

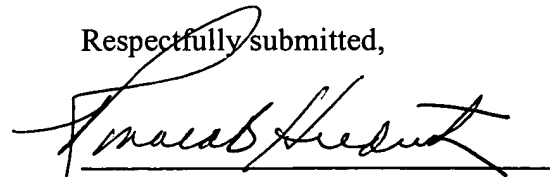
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Commissioner for Patents  
Washington, D.C. 20231

Sir:

The Applicants respectfully request that the ten (10) documents, which are listed in the attached PTO-1449 form, be "made of record" in the above-identified patent application. Copies of these documents are enclosed.

Respectfully submitted,

  
Ronald B. Hildreth  
Patent Office Reg. No. 19,498  
Attorney for Applicants  
(212) 408-2544

Enclosures

NY02:339346.1



<b>Form PTO-1449 U.S. Department of Commerce (REV. 2-82) Patent and Trademark Office</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use several sheets if necessary)	Atty. Docket No. (A33902) 072119.0110	Serial No. 09/849,013
	Applicant Ning et al.	
	Filing Date May 4, 2001	Group 2161

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**U.S. PATENT DOCUMENTS**

*Exam. Init.	Document No.	Date	Name	Class	Subclass	Filing Date if Appro.
	6 1 2 2 6 2 3	09/19/00	Garman	705	36	04/02/98
	6 1 1 9 1 0 3	09/12/00	Basch et al.	705	35	05/27/97
	6 0 7 8 9 0 4	06/20/00	Rebane	705	36	03/16/98
	6 0 5 5 5 1 7	04/25/00	Friend et al.	705	36	01/30/98
	6 0 2 1 3 9 7	02/01/00	Jones et al.	705	36	12/02/97
	6 0 1 8 7 2 2	01/25/00	Ray et al.	705	36	06/19/97
	6 0 0 3 0 1 8	12/14/99	Michaud et al.	705	36	
	5 9 1 8 2 1 7	06/29/99	Maggioncalda et al.	705	36	
	5 8 8 4 2 8 7	03/16/99	Edesess	705	36	
	5 8 1 2 9 8 7	09/22/98	Luskin et al.	705	36	

NY02:339352.1 Examiner

Date Considered

\* Examiner: Initial citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



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**FOREIGN PATENT DOCUMENTS**

Document No.										Date	Country	Class	Subclass	Translation	
														Yes	No

**OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, Etc.)**


NY02:339352.1 Examiner

Date Considered

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